

Docket No. 59360/JPW/AJM/HA

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Lorna W. Role et al.

Serial No. : 09/312,596

Examiner: S. Gucker

Filed : May 14, 1999

Group Art Unit: 1647

For : A-FORM OF CYTOPLASMIC DOMAIN OF nARIA (CRD-
NEUREGULIN) AND USES THEREOF

1185 Avenue of the Americas
New York, New York 10036
February 19, 2003

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

STATEMENT IN ACCORDANCE WITH 37 C.F.R. § 1.821(f)

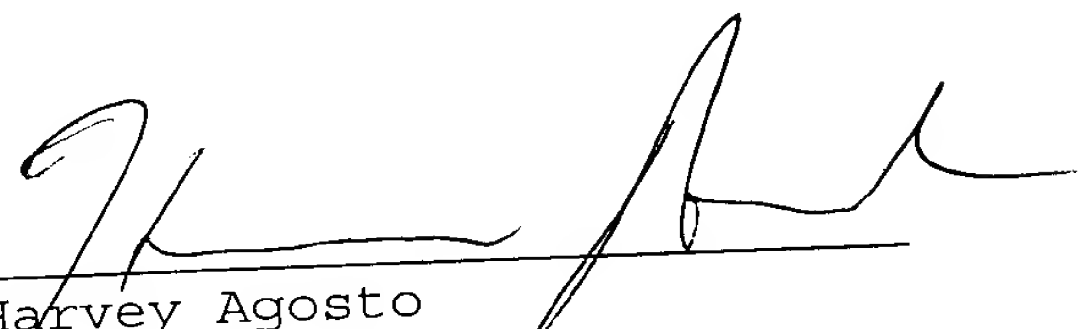
In accordance with 37 C.F.R. § 1.821(f), I hereby certify that the computer readable form containing the nucleic acid and/or amino acid sequences required by 37 C.F.R. §1.821(e) and submitted herewith in connection with the above-identified application, has the same information as the paper copy of the "Sequence Listing" submitted herewith as **Exhibit B**, and does not introduce new matter.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these were made with the knowledge that wilful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code

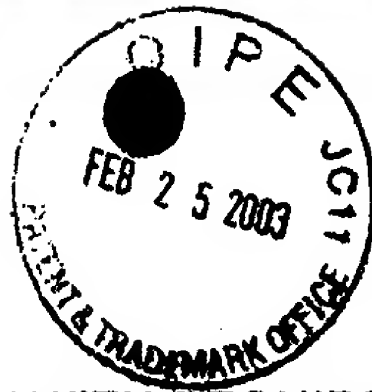
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Serial No.: 09/312,596
Page 2

and that such wilful false statements may jeopardize the validity
of the application or any patent issued thereon.

Respectfully submitted,



Harvey Agosto
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(212) 278-0400



Application No.: 09/312,596

**NOTICE TO COMPLY WITH REQUIREMENTS FOR PATENT APPLICATIONS CONTAINING
NUCLEOTIDE SEQUENCE AND/OR AMINO ACID SEQUENCE DISCLOSURES**

The nucleotide and/or amino acid sequence disclosure contained in this application does not comply with the requirements for such a disclosure as set forth in 37 C.F.R. 1.821 - 1.825 for the following reason(s):

- ☒ 1. This application clearly fails to comply with the requirements of 37 C.F.R. 1.821-1.825. Applicant's attention is directed to these regulations, published at 1114 OG 29, May 15, 1990 and at 55 FR 18230, May 1, 1990.
- ☐ 2. This application does not contain, as a separate part of the disclosure on paper copy, a "Sequence Listing" as required by 37 C.F.R. 1.821(c).
- ☐ 3. A copy of the "Sequence Listing" in computer readable form has not been submitted as required by 37 C.F.R. 1.821(e).
- ☒ 4. A copy of the "Sequence Listing" in computer readable form has been submitted. However, the content of the computer readable form does not comply with the requirements of 37 C.F.R. 1.822 and/or 1.823, as indicated on the attached copy of the marked -up "Raw Sequence Listing."
- ☐ 5. The computer readable form that has been filed with this application has been found to be damaged and/or unreadable as indicated on the attached CRF Diskette Problem Report. A Substitute computer readable form must be submitted as required by 37 C.F.R. 1.825(d).
- ☐ 6. The paper copy of the "Sequence Listing" is not the same as the computer readable form of the "Sequence Listing" as required by 37 C.F.R. 1.821(e).
- ☐ 7. Other:
- ☒ An initial or substitute computer readable form (CRF) copy of the "Sequence Listing".
- ☒ An initial or substitute paper copy of the "Sequence Listing", as well as an amendment directing its entry into the specification.
- ☒ A statement that the content of the paper and computer readable copies are the same and, where applicable, include no new matter, as required by 37 C.F.R. 1.821(e) or 1.821(f) or 1.821(g) or 1.825(b) or 1.825(d).

For questions regarding compliance to these requirements, please contact:

For Rules Interpretation, call (703) 308-4216

For CRF Submission Help, call (703) 308-4212

For PatentIn software help, call (703) 308-6856

PLEASE RETURN A COPY OF THIS NOTICE WITH YOUR RESPONSE

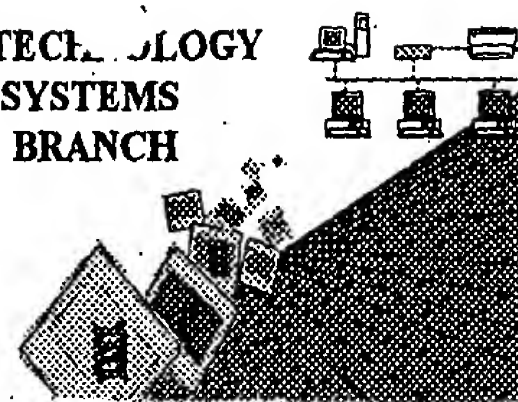
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RAW SEQUENCE LISTING ERROR REPORT

The Biotechnology Systems Branch of the Scientific and Technical Information Center (STIC) detected errors when processing the following computer readable form:

Application Serial Number: 09/312,596
Source: 1600
Date Processed by STIC: 9/12/02

THE ATTACHED PRINTOUT EXPLAINS DETECTED ERRORS.

PLEASE FORWARD THIS INFORMATION TO THE APPLICANT BY EITHER:

- 1) INCLUDING A COPY OF THIS PRINTOUT IN YOUR NEXT COMMUNICATION TO THE APPLICANT, WITH A NOTICE TO COMPLY or,
- 2) TELEPHONING APPLICANT AND FAXING A COPY OF THIS PRINTOUT, WITH A NOTICE TO COMPLY

FOR CRF SUBMISSION QUESTIONS, PLEASE CONTACT MARK SPENCER, 703-308-4212.

FOR SEQUENCE RULES INTERPRETATION, PLEASE CONTACT ROBERT WAX, 703-308-4216.

PATENTIN 2.1 e-mail help: patin21help@uspto.gov or phone 703-306-4119 (R. Wax)

PATENTIN 3.0 e-mail help: patin3help@uspto.gov or phone 703-306-4119 (R. Wax)

TO REDUCE ERRORED SEQUENCE LISTINGS, PLEASE USE THE CHECKER
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Applicants submitting genetic sequence information electronically on diskette or CD-Rom should be aware that there is a possibility that the disk/CD-Rom may have been affected by treatment given to all incoming mail.

Please consider using alternate methods of submission for the disk/CD-Rom or replacement disk/CD-Rom.

Any reply including a sequence listing in electronic form should NOT be sent to the 20231 zip code address for the United States Patent and Trademark Office, and instead should be sent via the following to the indicated addresses:

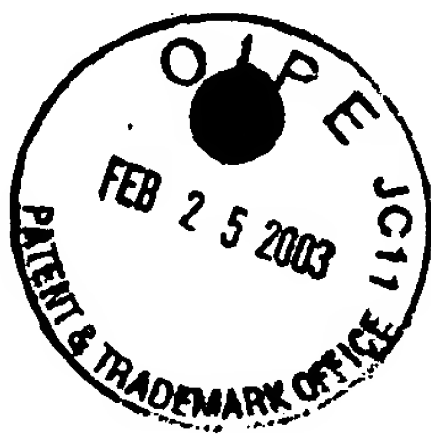
1. EFS-Bio (<<http://www.uspto.gov/ebc/efs/downloads/documents.htm>> , EFS Submission User Manual - ePAVE)
2. U.S. Postal Service: U.S. Patent and Trademark Office, Box Sequence, P.O. Box 2327, Arlington, VA 22202
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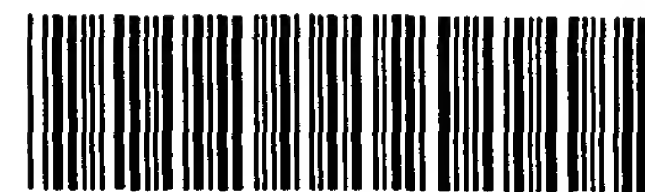
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Does Not Comply
Corrected Diskette Needed

1600

RAW SEQUENCE LISTING

PATENT APPLICATION: US/09/312,596C

DATE: 09/12/2002

TIME: 10:00:45

Input Set : A:\593601.txt

Output Set: N:\CRF4\09122002\I312596C.raw

3 <110> APPLICANT: Role, Lorna W.
4 Talmage, David
5 Bao, Jianxin
7 <120> TITLE OF INVENTION: A-FORM OF CYTOPLASMIC DOMAIN OF nARIA (CRD-NEUREGULIN
8 AND USES THEREOF
10 <130> FILE REFERENCE: 0575/59360
12 <140> CURRENT APPLICATION NUMBER: 09/312,596C
13 <141> CURRENT FILING DATE: 1999-05-14
E--> 15 <160> NUMBER OF SEQ ID NOS: 4 - Counted 5 ←
17 <170> SOFTWARE: PatentIn Ver. 2.1

ERRORED SEQUENCES

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VERIFICATION SUMMARY

DATE: 09/12/2002

PATENT APPLICATION: US/09/312,596C

TIME: 10:00:47

Input Set : A:\593601.txt

Output Set: N:\CRF4\09122002\I312596C.raw

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L:158 M:341 W: (46) "n" or "Xaa" used, for SEQ ID#:2 after pos.:112
L:167 M:341 W: (46) "n" or "Xaa" used, for SEQ ID#:2 after pos.:160
L:170 M:341 W: (46) "n" or "Xaa" used, for SEQ ID#:2 after pos.:176
L:173 M:341 W: (46) "n" or "Xaa" used, for SEQ ID#:2 after pos.:192
L:302 M:341 W: (46) "n" or "Xaa" used, for SEQ ID#:2 after pos.:880
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L:335 M:341 W: (46) "n" or "Xaa" used, for SEQ ID#:2 after pos.:1056
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L:501 M:341 W: (46) "n" or "Xaa" used, for SEQ ID#:4 after pos.:400
L:504 M:341 W: (46) "n" or "Xaa" used, for SEQ ID#:4 after pos.:416
L:507 M:341 W: (46) "n" or "Xaa" used, for SEQ ID#:4 after pos.:432
L:15 M:203 E: No. of Seq. differs, <160> Number Of Sequences:Input (4) Counted (5)